

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Fricke, Theresa L.	2. Court or Organization U.S. District Court for the Western District of Washington	3. Date of Report 07/27/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (active full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S Courthouse 1717 Pacific Ave. Tacoma, WA 98402 Room 3100		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions.)

A. Filer's Non-Investment Income



NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)



NONE (No reportable non-investment income.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Hester Law Group, Inc. P.S. W-2 Wages
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE (No reportable reimbursements.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Fricke, Theresa L.	07/27/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1. Chase Visa	Credit Card	J
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Brokerage #1 (H)									
2. JP Morgan US Government Money Market Fund (QVESQ)	A	Dividend	J	T					
3. Blackrock Index Fds Inc (BTMKX)	A	Dividend	J	T	Sold (part)	04/08/19	J	A	
4.					Sold (part)	11/25/19	J	A	
5. Brown Advisory Fds (BAFHx)	A	Dividend			Sold	02/21/19	J	A	
6. Causeway Cap Mgmt Tr (CIVIX)	A	Dividend			Sold (part)	02/08/19	J	A	
7.					Sold	04/08/19	J	A	
8. Dodge & Cox Funds International Stock Fund (DODFX)	A	Dividend			Sold	02/21/19	J	A	
9. Fidelity Salem Str Tr (FXAIX)	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
10.					Sold (part)	04/08/19	K	B	
11.					Sold (part)	07/08/19	J	A	
12.					Buy (add'l)	08/28/19	J		
13.					Buy (add'l)	10/23/19	J		
14.					Sold (part)	11/25/19	J	A	
15. Harris Assoc Invt Tr (OANMX)	A	Dividend			Sold	04/08/19	J	A	
16. iShares Inc (EWJ)	A	Dividend	J	T	Sold (part)	03/07/19	J	A	
17.					Sold (part)	11/26/19	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. JP Morgan Exchange (BBCA)	A	Dividend	J	T	Buy (add'l)	04/09/19	J		
19.					Sold (part)	11/26/19	J	A	
20. JP Morgan Exchange (BBAX)	A	Dividend	J	T	Sold (part)	07/09/19	J	A	
21.					Buy (add'l)	11/26/19	J		
22. JP Morgan Exchange (BBEU)	A	Dividend	K	T	Buy	02/22/19	J		
23.					Buy (add'l)	04/09/19	J		
24.					Buy (add'l)	07/19/19	J		
25.					Sold (part)	08/29/19	J	A	
26.					Sold (part)	11/26/19	J	A	
27. JP Morgan Exchange (BBJP)	A	Dividend	J	T	Sold (part)	03/07/19	J	A	
28.					Buy (add'l)	07/09/19	J		
29.					Sold (part)	11/26/19	J	A	
30. JP Morgan Tr I (JUEMX)	A	Dividend			Sold	04/08/19	J	A	
31. Massachusetts Invs Tr (MITJX)	A	Dividend			Sold	04/08/19	J	A	
32. MFS SER Tr I (MRSKX)	A	Dividend			Sold (part)	02/08/19	J	A	
33.					Sold	04/08/19	J	A	
34. Sic Circles Tr (CIUEX)	A	Dividend	K	T	Buy (add'l)	04/08/19	K		

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	07/08/19	J		
36.					Buy (add'l)	11/25/19	J		
37. Six Circles Tr (CUSUX)	A	Dividend	L	T	Buy (add'l)	02/08/19	J		
38.					Buy (add'l)	04/08/19	K		
39.					Sold (part)	07/08/19	K	A	
40.					Sold (part)	11/25/19	J	A	
41. SPDR S&P 500 ETF Trust (SPY)	A	Dividend	K	T					
42. Vanguard Index Tr (VFIAX)	B	Dividend	M	T					
43. American Century Mun Tr (ATBYX)	B	Dividend	K	T	Buy (add'l)	07/08/19	J		
44.					Sold (part)	09/04/19	J	A	
45.					Buy (add'l)	11/25/19	J		
46. Bernstein Sanford C FD (AIDZX)	A	Dividend	L	T	Buy (add'l)	07/08/19	J		
47.					Sold (part)	09/04/19	J	A	
48.					Buy (add'l)	11/25/19	J		
49. Blackrock Mun Bd Fd Inc (BNMLX)	A	Dividend	K	T	Buy (add'l)	07/08/19	J		
50.					Sold (part)	09/04/19	J	A	
51.					Buy (add'l)	11/25/19	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Dodge & Cox Income Fund (DODIX)	A	Dividend	K	T	Buy (add'l)	07/08/19	J		
53.					Sold (part)	09/04/19	J	A	
54.					Buy (add'l)	11/25/19	J		
55. iShares Trust (IEI)	A	Dividend	J	T	Buy	09/25/19	J		
56. iShares Trust (IEF)	A	Dividend	J	T	Buy	09/25/19	J		
57. iShares Trust (SHV)	A	Dividend	J	T	Buy	06/10/19	K		
58.					Buy (add'l)	07/09/19	J		
59.					Sold (part)	09/05/19	J	A	
60.					Sold (part)	09/25/19	K	A	
61. iShares Trust (SHY)	A	Dividend			Sold (part)	01/08/19	J	A	
62.					Buy (add'l)	03/07/19	J		
63.					Sold	06/10/19	K	A	
64. John Hancock Income Fund (JSNWX)	A	Dividend			Sold	02/08/19	J	A	
65. JP Morgan TR II (OSTSX) formerly (JIMIX)	A	Dividend	K	T	Buy (add'l)	07/08/19	J		
66.					Sold (part)	09/04/19	J	A	
67.					Buy (add'l)	11/25/19	J		
68. Mainstay Fds (MHYSX)	A	Dividend			Sold	03/06/19	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. Pimco Low Duration Fund (PTLDX)	A	Dividend	K	T	Buy (add'l)	07/08/19	J		
70.					Sold (part)	09/04/19	J	A	
71. Pimco Total Return Fund (PTTRX)	A	Dividend	J	T	Sold (part)	02/08/19	J	A	
72.					Sold (part)	09/04/19	J	A	
73. Rowe T Price Intl Fds Inc (PRXIX)	A	Dividend			Buy (add'l)	02/01/19	J		
74.					Sold	02/21/19	J	A	
75. Six Circles Tr (CUTAX)	A	Dividend	J	T	Buy (add'l)	07/08/19	J		
76.					Sold (part)	09/04/19	J	A	
77. T Rowe Price Summit Mun (PRTMX) formerly (PRSMX)	A	Dividend	K	T	Buy (add'l)	02/08/19	J		
78.					Buy (add'l)	02/21/19	J		
79.					Buy (add'l)	07/08/19	J		
80.					Sold (part)	09/04/19	J	A	
81.					Buy (add'l)	11/25/19	J		
82. Tax Exempt Bd Fd Amer (TFEBX)	A	Dividend	K	T	Buy (add'l)	02/08/19	J		
83.					Buy (add'l)	02/21/19	J		
84.					Buy (add'l)	07/08/19	J		
85.					Sold (part)	09/04/19	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 9 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86.					Buy (add'l)	11/25/19	J		
87. Vanguard Short Term Fund (VTIP)	A	Dividend	J	T	Buy (add'l)	07/09/19	J		
88. Checking & Savings Accounts (H)									
89. JP Morgan Chase Bank N.A.	A	Interest	J	T					
90. JP Morgan Chase Bank N.A.	A	Interest	K	T					
91. JP Morgan Chase Bank N.A.	A	Interest	L	T					
92. Brokerage #2 SEP (H)									
93. JP Morgan US Government (QVESQ)	A	Dividend	J	T					
94. Abbvie Inc (ABBV)	A	Dividend	J	T	Buy	11/26/19	J		
95. Accenture PLC Ireland (ACN)	A	Dividend	J	T					
96. Adobe Inc (ADBE)	A	Dividend	J	T					
97. Alexion Pharmaceuticals (ALXN)	A	Dividend	J	T	Buy	03/19/19	J		
98.					Buy (add'l)	03/20/19	J		
99. Allegion Public Limited (ALLE)	A	Dividend	J	T					
100. Alphabet Inc (GOOGL)	A	Dividend	J	T					
101. Alphabet Inc (GOOG)	A	Dividend	J	T	Buy (add'l)	10/16/19	J		
102. Amazon.com Inc (AMZN)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 10 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. American Express Company (AXP)	A	Dividend	J	T					
104. Analog Devices Inc (ADI)	A	Dividend			Sold (part)	02/26/19	J	A	
105.					Sold (part)	02/27/19	J	A	
106.					Sold (part)	02/28/19	J	A	
107.					Sold	03/01/19	J	A	
108. Apple Inc (AAPL)	A	Dividend	J	T					
109. APTIV PLC (APTV)	A	Dividend	J	T					
110. Automatic Data (ADP)	A	Dividend	J	T					
111. Bank of America Corp (BAC)	A	Dividend	J	T					
112. Berkshire Hathaway Inc (BRKB)	A	Dividend	J	T					
113. Biogen Inc (BIIB)	A	Dividend			Sold	03/20/19	J	A	
114. Blackrock Index Fds Inc (BTMKX)	B	Dividend	K	T	Sold (part)	10/15/19	J	A	
115. Boston Scientific Corp (BSX)	A	Dividend	J	T					
116. Bristol Myers Squibb Co (BMY)	A	Dividend	J	T	Sold (part)	03/19/19	J	A	
117. Broadcom Inc (AVGO)	A	Dividend	J	T					
118. Brown Advisory Funds (BAFHX)	A	Dividend			Sold	02/20/19	J	A	
119. Causeway Cap Mgmt Tr (CIVIX)	A	Dividend			Sold (part)	02/08/19	J	A	

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 11 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	02/20/19	J	A	
121.					Sold	04/04/19	J	A	
122. Celgene Corp (CELG)	A	Dividend	J	T					
123. Charles Schwab Corp New (SCHW)	A	Dividend	J	T					
124. Charter Communications (CHTR)	A	Dividend	J	T					
125. Chubb LTD (CB)	A	Dividend	J	T					
126. Citigroup Inc (C)	A	Dividend	J	T					
127. Coca Cola Company (KO)	A	Dividend	J	T					
128. Comcast Corp (CMCSA)	A	Dividend	J	T	Buy (add'l)	02/01/19	J		
129.					Buy (add'l)	03/19/19	J		
130. Delta Airlines Inc Del (DAL)	A	Dividend	J	T					
131. Diamondback Energy Inc (FANG)	A	Dividend	J	T	Buy (add'l)	01/11/19	J		
132.					Buy (add'l)	01/14/19	J		
133. Dupont De Nemours Inc (DD) (X)	A	Dividend	J	T					
134. Dodge & Cox Funds (DODFX)	A	Dividend			Sold (part)	02/08/19	J	A	
135.					Sold	04/04/19	J	A	
136. Dollar Tree Inc (DLTR)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. Dowdupont Inc (DWDP)	A	Dividend	J	T					
138. Electronic Arts Inc (EA)	A	Dividend	J	T	Buy (add'l)	02/01/19	J		
139. Eli Lilly & Co (LLY)	A	Dividend	J	T					
140. EOG Res Inc (EOG)	A	Dividend	J	T					
141. Facebook Inc (FB)	A	Dividend	J	T					
142. Federated Instl Tr (FIHLX) (X)	A	Dividend			Sold	03/11/19	J	A	
143. Fidelity National (FIS)	A	Dividend	J	T					
144. Fidelity Salem Str Tr (FXAIX)	B	Dividend	L	T	Buy (add'l)	01/07/19	J		
145.					Buy (add'l)	02/08/19	J		
146.					Sold (part)	04/04/19	J	A	
147.					Buy (add'l)	08/28/19	J		
148.					Sold (part)	10/15/19	K	B	
149.					Sold (part)	11/25/19	J	A	
150. Fidelity Salem Str Tr (FSPSX)	A	Dividend	J	T	Buy	04/04/19	J		
151.					Sold (part)	10/15/19	J	A	
152. Fiserv Inc (FISV)	A	Dividend	J	T	Buy	01/29/19	J		
153.					Buy (add'l)	01/30/19	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	01/31/19	J		
155. General Dynamics Corp (GD)	A	Dividend	J	T					
156. Gilead Sciences Inc (GILD)	A	Dividend			Sold	01/29/19	J	A	
157. Home Depot Inc (HD)	A	Dividend	J	T					
158. Honeywell Intl Inc (HON)	A	Dividend	J	T					
159. Intercontinental Exchange (ICE)	A	Dividend	J	T					
160. JP Morgan Exchange (BBCA)	A	Dividend	J	T	Buy (add'l)	04/05/19	J		
161.					Sold (part)	10/16/19	J	A	
162. JP Morgan Exchange (BBAX)	A	Dividend	J	T					
163. JP Morgan Exchange (BBEU)	A	Dividend	K	T	Buy (add'l)	02/21/19	J		
164.					Buy (add'l)	04/05/19	J		
165.					Buy (add'l)	08/29/19	J		
166.					Buy (add'l)	10/16/19	J		
167. JP Morgan Exchange (BBJP)	A	Dividend	K	T	Sold (part)	03/12/19	J	A	
168.					Sold (part)	10/16/19	J	A	
169. Keycorp New (KEY)	A	Dividend	J	T					
170. Linde PLC (LIN)	A	Dividend	J	T	Buy (add'l)	01/10/19	J		

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 14 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. Lowes Companies Inc (LOW)	A	Dividend	J	T					
172. Marathon Pete Corp (MPC)	A	Dividend	J	T					
173. Mastercard Incorporated (MA)	A	Dividend	J	T	Sold (part)	01/29/19	J	A	
174.					Sold (part)	01/30/19	J	A	
175. Metrodonic PLC (MDT)	A	Dividend			Sold	05/21/19	J	A	
176. Mcdonalds Corp (MCD) (X)	A	Dividend	J	T					
177. Merck & Co Inc (MRK)	A	Dividend	J	T	Buy (add'l)	03/19/19	J		
178.					Buy (add'l)	03/20/19	J		
179. MFS SER TR I (MRSKX)	A	Dividend			Sold (part)	02/20/19	J	A	
180.					Sold	04/04/19	J	A	
181. Microsoft Corp (MSFT)	A	Dividend	J	T	Buy (add'l)	10/16/19	J		
182. Mondelez International (MDLZ)	A	Dividend	J	T					
183. Morgan Stanley (MS)	A	Dividend	J	T					
184. Netflix Com Inc (NFLX)	A	Dividend	J	T					
185. Nextera Energy Inc (NEE)	A	Dividend	J	T					
186. Nike (NKE) (Y)									
187. Nisource Inc (NI)	A	Dividend	J	T					

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 15 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Norfolk Southern Corp (NSC)	A	Dividend	J	T					
189. Northrop Grumman Corp (NOC)	A	Dividend	J	T					
190. Nvida Corp (NVDA)	A	Dividend	J	T					
191. NXP Semiconductors N V (NXPI)	A	Dividend	J	T	Buy	02/26/19	J		
192.					Buy (add'l)	02/27/19	J		
193. O Riley Automotive Inc (ORLY)	A	Dividend	J	T					
194. Occidental Pete Corp (OXY)	A	Dividend	J	T					
195. Parker Hannfin Corp (PH)	A	Dividend	J	T					
196. Paypal Holdings Inc (PYPL)	A	Dividend	J	T	Buy (add'l)	01/29/19	J		
197. Pepsico Inc (PEP)	A	Dividend	J	T					
198. Pfizer Inc (PFE)	A	Dividend	J	T					
199. Philip Morris (PM)	A	Dividend	J	T					
200. Pioneer Natural Resources (PXD)	A	Dividend	J	T					
201. Proctor & Gamble Co (PG) (X)	A	Dividend	J	T					
202. Prudential Financial Inc (PRU)	A	Dividend	J	T					
203. Ross Stores Inc (ROST)	A	Dividend	J	T					
204. Salesforce.com Inc (CRM)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. Six Circles Tr (CIUEX) (X)	A	Dividend			Sold	10/15/19	J	A	
206. Six Circles Tr (CUSUX) (X)	A	Dividend			Sold	10/15/19	J	A	
207. Six Circles Tr (CUSDX) (X)	A	Dividend			Sold	10/15/19	J	A	
208. Stanley Black & Decker (SWK)	A	Dividend	J	T					
209. SVB Financial Group (SIVB)	A	Dividend	J	T					
210. Texas Instruments (TXN)	A	Dividend	J	T	Buy (add'l)	02/22/19	J		
211. Union Pacific Corp (UNP)	A	Dividend	J	T					
212. United Technologies Corp (UTX)	A	Dividend	J	T					
213. Unitedhealth Grop Inc (UNH)	A	Dividend	J	T					
214. Vanguard Index Tr (VFIAX)	A	Dividend	L	T					
215. Vanguard Intl Equity (VGK) (Y)									
216. Vertex Pharmaceuticals (VRTX)	A	Dividend	J	T					
217. Visa Inc (V)	A	Dividend	J	T					
218. Walt Disney Co (DIS)	A	Dividend	J	T	Sold (part)	03/19/19	J	A	
219.					Sold (part)	10/30/19	J	A	
220. Waste Connections Inc (WCN)	A	Dividend	J	T					
221. Wells Fargo & Co (WFC)	A	Dividend	J	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 17 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Wex Inc (WEX)	A	Dividend	J	T					
223. Worldpay Inc (WP)	A	Dividend			Sold (part)	02/01/19	J	A	
224.					Sold	02/04/19	J	A	
225. Yum Brands Inc (YUM)	A	Dividend	J	T					
226. Zimmer Biomet Holdings (ZBH)	A	Dividend	J	T					
227. Dodge & Cox Income Fund (DODIX)	A	Dividend	K	T	Buy (add'l)	10/15/19	J		
228. Federated Instl TR (FIHLX)	A	Dividend	J	T					
229. John Hancock Income Fund (JSTIX) (Y)									
230. iShares 20 Plus Year (TLT)	A	Dividend	J	T	Buy	09/26/19	J		
231. iShares Trust (IEF)	A	Dividend	K	T	Buy	02/21/19	J		
232.					Buy (add'l)	10/16/19	J		
233. iShares Trust (MBB)	A	Dividend	K	T	Buy	02/11/19	J		
234.					Buy (add'l)	10/16/19	J		
235. Hancock John Fds II (JIPRX)	A	Dividend			Sold	02/08/19	J	A	
236. iShares Tips Bond ETF (TIP)	A	Dividend	J	T	Buy (add'l)	10/16/19	J		
237. John Hancock Income Fund (JSNWX)	A	Dividend			Sold	02/08/19	J	A	
238. JPMorgan Tr II (JCBUX)	B	Dividend	L	T	Sold (part)	09/25/19	J	A	

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 18 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239.					Buy (add'l)	10/15/19	J		
240. Pimco Investment Grade (PIGIX)	A	Dividend	K	T	Buy (add'l)	10/15/19	J		
241. Pimco Short Term Fund (PTSHX)	A	Dividend	K	T	Buy (add'l)	10/15/19	J		
242. Pimco Total Return Fund (PTTRX)	A	Dividend	K	T	Sold (part)	02/08/19	J	A	
243.					Buy (add'l)	10/15/19	J		
244. Rowe T Price Intl Fds Inc (PRXIX)	A	Dividend			Sold	02/20/19	J	A	
245. Rowe T Price New Income (PRSEX)	B	Dividend	L	T	Sold (part)	09/25/19	J	A	
246.					Buy (add'l)	10/15/19	J		
247. Vanguard Bond Index Fd (VBTLX)	A	Dividend	K	T	Buy (add'l)	02/08/19	J		
248.					Buy (add'l)	10/15/19	J		
249. Vanguard Charlotte Fds (VTABX)	C	Dividend	M	T					
250. Vanguard Fixed Income (VFIDX)	A	Dividend			Sold	02/08/19	J	A	
251. Vanguard Short Term Bond (BSV)	A	Dividend			Sold (part)	01/08/19	J	A	
252.					Sold (part)	02/11/19	J	A	
253.					Buy (add'l)	03/12/19	J		
254.					Sold	09/26/19	J	A	
255. Vanguard Total (BNDX)	A	Dividend	L	T	Buy (add'l)	02/11/19	K		

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 19 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256.					Buy (add'l)	09/26/19	K		
257.					Buy (add'l)	10/16/19	K		
258.					Buy (add'l)	11/26/19	J		
259. Brokerage #3 (SEP) (H)									
260. JP Morgan US Government Money Market Fund (QVESQ)	A	Dividend	J	T					
261. Blackrock Index Fds Inc (BTMKX)	B	Dividend	J	T	Sold (part)	08/13/19	K	A	
262. Causeway Cap Mgmt Tr (CIVIX)	A	Dividend			Sold (part)	02/15/19	J	A	
263.					Sold	04/09/19	J	A	
264. Dodge & Cox Funds (DODFX)	A	Dividend			Sold (part)	02/08/19	J	A	
265.					Sold (part)	02/15/19	J	A	
266.					Sold	04/09/19	J	A	
267. Fidelity Salem Str Tr (FXAIX)	B	Dividend	J	T	Buy (add'l)	01/07/19	J		
268.					Sold (part)	04/09/19	K	A	
269.					Sold (part)	08/13/19	M	D	
270.					Buy (add'l)	08/27/19	J		
271. Fidelity Salem Str Tr (FSPSX)	A	Dividend			Buy	04/09/19	J		
272.					Sold	08/13/19	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 20 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. JP Morgan Exchange (BBCA)	A	Dividend	J	T	Buy (add'l)	04/10/19	J		
274.					Sold (part)	08/14/19	J	A	
275. JP Morgan Exchange (BBAX)(X)	A	Dividend	J	T	Sold (part)	08/14/19	J	A	
276. JP Morgan Exchange (BBEU)	A	Dividend	J	T	Buy (add'l)	04/10/19	J		
277.					Sold (part)	08/14/19	J	A	
278.					Sold (part)	08/28/19	J	A	
279. JP Morgan Exchange (BBJP)	A	Dividend	J	T	Sold (part)	03/07/19	J	A	
280.					Sold (part)	08/14/19	J	A	
281. MFS SER Tr I (MRSKX)	A	Dividend			Sold (part)	02/08/19	J	A	
282.					Sold	04/09/19	J	A	
283. Six Circles Tr (CIUEX)	A	Dividend	J	T	Buy (add'l)	04/09/19	J		
284.					Sold (part)	08/13/19	J	A	
285. Six Circles Tr (CUSUX)	A	Dividend	J	T	Buy (add'l)	04/09/19	J		
286.					Sold (part)	08/13/19	K	A	
287. Six Circles Tr (CUSDX) (X)	A	Dividend			Sold	08/13/19	J	A	
288. Vanguard Index Tr (VFIAX)	A	Dividend	J	T					
289. Dodge & Cox Income Fund (DODIX)	A	Dividend	J	T	Buy (add'l)	02/08/19	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 21 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold (part)	08/13/19	J	A	
291. iShares Trust (IEF)	A	Dividend	J	T	Buy	02/19/19	J		
292.					Sold (part)	08/14/19	J	A	
293. iShares Trust (MBB)	A	Dividend	J	T	Buy	02/11/19	J		
294.					Sold (part)	08/14/19	J	A	
295. iShares 20 Plus Year (TLT)	A	Dividend	J	T	Buy	09/25/19	J		
296. Pimco Investment Grade (PIGIX)	A	Dividend			Sold	02/08/19	J	A	
297. Pimco Total Return Fund (PTTRX)	A	Dividend			Sold	02/08/19	J	A	
298. Rowe T Price New Income (PRSEX)	A	Dividend	J	T	Sold (part)	08/13/19	J	A	
299.					Sold (part)	09/24/19	J	A	
300. Six Circles Tr (CUSDX)	A	Dividend	J	T					
301. Vanguard Bond Index Fund (VBTLX)	A	Dividend	J	T	Buy (add'l)	02/08/19	J		
302.					Sold (part)	08/13/19	J	A	
303. Vanguard Charlotte Fds (VTABX)	A	Dividend	J	T	Sold (part)	08/13/19	J	A	
304. Vanguard Fixed Income (VFIDX)	A	Dividend			Sold	02/08/19	J	A	
305. Vanguard Short Term Bond (BSV)	A	Dividend	J	T	Sold (part)	01/08/19	J	A	
306.					Sold (part)	02/11/19	J	A	

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307.					Buy (add'l)	03/07/19	J		
308.					Sold (part)	08/14/19	J	A	
309.					Sold (part)	09/25/19	J	A	
310. Vanguard Total (BNDX)	A	Dividend	J	T	Buy (add'l)	02/11/19	J		
311.					Sold (part)	08/14/19	K	B	
312.					Buy (add'l)	09/25/19	J		
313. Equitable Financial Life Insurance Company- Fixed Annuity	D	Dividend	N	T	Buy	08/16/19	M		
314. Principal Financial Group, Inc. (Whole Life Policy)	A	Dividend	L	T					
315. State Retirement PERS 2 (H)									
316. State of Washtington Department of Retirement Systems	D	Interest	M	T					
317. Rental Property #1 1/3 Ownership (Tacoma, WA)	D	Rent	N	W					

1. Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2. Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 23 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 24 of 24

Name of Person Reporting

Fricke, Theresa L.

Date of Report

07/27/2020

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Theresa L. Fricke**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544